

# UNIVERSITY OF ILLINOIS SYSTEM

URBANA-CHAMPAIGN • CHICAGO • SPRINGFIELD

Office of Business Services  
301 Coble Hall, MC-335  
801 South Wright Street  
Champaign, Illinois 61820

## University of Illinois FY20 Federal Compliance Audit Corrective Action Plans

### **Finding 2020-004 Failure to Document Risk Assessments for Student Information Security**

**Plan:** The University will conduct a risk assessment that will address employee training and management, information systems, and detecting, preventing, and responding to attacks, intrusions, or other system failures as it relates to the student financial aid systems at the University of Illinois System.

**Expected Implementation Date:** January 15, 2022

**Contact:**

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### **Finding 2020-005 Inadequate Return of Title IV Fund Calculation**

**Plan:**

**UIUC-** The University will review existing procedures and provide periodic communications/reminders to staff who work with students regarding withdrawal from the University. The critical importance of accurately documenting the request and approved effective dates of such withdrawals will be emphasized. All completed Title IV fund calculations are reviewed by a Student Financial Aid Administrator and an emphasis will be placed on ensuring appropriate dates are used in the calculations.

**UIS** - The University has implemented a process in which the scheduled breaks will now include weekends for the purpose of completing R2T4's. The primary R2T4 advisor has received training in this area and is currently processing all R2T4's based on ED regulatory requirements. Additional training is also on the way for all staff involved in the R2T4 processing. There is now a secondary review of completed R2T4s prior to processing.

**Expected Implementation Date:**

UIUC: June 30, 2021

UIS: October 2020

**Contact:**

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(217)206-6724

**Finding 2020-006 Errors In Reporting for NSLDS**

**Plan:**

**UIUC** - The University will manually monitor unofficial withdrawal dates in NSLDS for the remainder of the spring 2021 semester. Additionally, the University will review policy related to student records and explore strategies to record unofficial withdrawal information in the University's student information system.

**UIC** - The University plans to alter its processes with the third-party vendor and take steps to accurately preserve effective withdrawal dates. University will track effective withdrawal date for student populations and integrate communications to third party vendor.

**UIS** - The University has implemented a process in which the Financial Aid office will update NSLDS after completing R2T4's. There is now a secondary review of completed R2T4's prior to processing, which will also address the updates in NSLDS. The primary R2T4 advisor has received training in this area and is currently processing all R2T4s based on ED regulatory requirements.

**Expected Implementation Date:**

UIUC: Spring 2021

UIC: Spring 2021

UIS: October 2020

**Contact:**

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#### **Finding 2020-007 Inadequate Support for Procurement**

**Plan:** The University has added a required section to document price or rate quotations from an adequate number of sources for purchases, as applicable, in the procurement request system for purchases up to \$100,000.

**Expected Implementation Date:** December 21, 2020

**Contact:**

Debra D. Matlock, JD, Executive Director  
University of Illinois Chicago - Purchasing  
(312) 996-9383

#### **Finding 2020-008 Failure to Submit Exit Counseling Notification to Students**

**Plan:** The University has created a process by which a report will be run on a regular basis to determine all students that have withdrawn or ceased to be at least half time enrolled. Those students with student loans, will be sent the information necessary to complete the exit counseling. A copy of the notification will be maintained in Banner to document the process was completed.

**Expected Implementation Date:** June 30, 2021

**Contact:**

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#### **Finding 2020-009 Underpayment of Title IV Funds**

**Plan:** Ensure all yearly set-up checklist is completed by IT staff

**Expected Implementation Date:** January 2021

**Contact:**

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### **Finding 2020-010 Untimely Submission of HEERF Reporting**

**Plan:**

**UIC** - Any future HEERF Student Portion reporting for the University of Illinois at Chicago, including John Marshall Law School (JMLS), will be managed by the University of Illinois at Chicago Office of Student Financial Aid.

**UIS** - The University implemented a plan for the timely reporting of the HEERF funds data. There is a secondary review of the input prior to submission to eliminate transposing data or other input errors.

**Expected Implementation Date:**

UIC: July 1, 2020

UIS: January 1, 2021

**Contact:**

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### **Finding 2020-011 Inadequate Documentation of Direct Loan Reconciliations**

**Plan:** This University is implementing and documenting the procedures for monthly reconciliation of direct loans, in compliance with ED regulatory requirements (2 CFR 200.303)

**Expected Implementation Date:** June 1, 2021

**Contact:**

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